



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

H. Alpar, et al.

Serial No.: 09/937,066

Filed: September 20, 2001

For: POLYCATIONIC CARBOHY-
DRATES AS IMMUNOSTIMU-
LANTS IN VACCINES

GROUP ART UNIT: unknown

EXAMINER: unknown

December 4, 2001

Attorney Docket No. 41577/263691

I hereby certify that this correspondence is being
deposited with the United States Postal Service
as first class mail in an envelope addressed to
the Assistant Commissioner for Patents, Washington,
D.C. 20231, on December 4, 2001

Assistant Commissioner
for Patents
Washington, D.C. 20231

Dean W. Pinner
Signature

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98,
Applicants identify the materials listed below and on the
modified form PTO-1449 accompanying this submission:

U.S. PATENT

<u>Number</u>	<u>Inventor</u>	<u>Date</u>
5,585,106	Gristina, et al.	December 17, 1996

NON-U.S. PATENT DOCUMENTS

<u>Number</u>	<u>Country/Region</u>	<u>Date</u>
WO 97/20576	WIPO/PCT	June 12, 1997
WO 96/10421	WIPO/PCT	April 11, 1996

OTHER MATERIAL

A. Kotze, et al., "Enhancement of Paracellular Drug
Transport with Highly Quaternized N-Trimethyl Chitosan Chloride
in Neutral Environments: In Vitro Evaluation in Intestinal
Epithelial Cells (Caco-2)," Journal of Pharmaceutical Sciences,
Vol. 88, No. 2, February 1999, pp. 253-257.

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Copies of the listed materials are enclosed. Applicants do not concede that the identified materials, or any of them, constitute prior art within the meaning of the United States patent laws.

Applicants are submitting this paper within three months of the filing of the application and accordingly believe no fee is due. Alternatively, Applicants submit this paper before receipt of an Office Action concerning the merits of the invention claimed in the application and thus, for this reason, believe no fee is due. See 37 C.F.R. § 1.97(b). However, if Applicants' beliefs are mistaken, the Assistant Commissioner is authorized to debit deposit account No. 11-0855 for any such fee presently due.

Respectfully submitted,



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Form PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.: 41577/263691

SERIAL NO.: 09/937,066

APPLICANT: H. Alpar, *et al.*MATERIAL INFORMATION STATEMENT
(Use several sheets if necessary)

FILING DATE: September 20, 2001

GROUP: Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,585,106	12/17/96	Gristina, <i>et al.</i>			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	WO 9720576	06/12/97	WIPO/PCT			
	WO 96 10421	04/11/96	WIPO/PCT			

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

A. Kotze, *et al.*, "Enhancement of Paracellular Drug Transport with Highly Quaternized N-Trimethyl Chitosan Chloride in Neutral Environments: In Vitro Evaluation in Intestinal Epithelial Cells (Caco-2)," Journal of Pharmaceutical Sciences, Vol. 88, No. 2, February 1999, pp. 253-257.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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